

**UTILITY  
PATENT APPLICATION  
TRANSMITTAL**

(Only for new nonprovisional applications under 37 C.F.R. 1.53(b))

Attorney Docket No. 06816.0035, NPUS01

First Inventor James H. Kukula, et al.

Title METHOD AND APPARATUS FOR FORMALLY CONSTRAINING  
RANDOM SIMULATION

Express Mail Label No.

**APPLICATION ELEMENTS**

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)
2. ☐ Applicant claims small entity status.  
See 37 CFR 1.27.
3. ☒ Specification [Total Pages 62]  
(preferred arrangement set forth below)
- Descriptive title of the Invention
  - Cross References to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to sequence listing, a table, or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 50]
5. Oath or Declaration [Total Pages 3]
- a. ☐ Newly executed (original or copy)
  - b. ☐ Copy from a prior application (37 CFR 1.63 (d))  
(for a continuation/divisional with Box 18 completed)
  - i. ☐ **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
6. ☐ Application Data Sheet. See 37 CFR 1.76

**ADDRESS TO:**Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
- a. ☐ Computer Readable Form (CRF)
  - b. Specification Sequence Listing on:
    - i. ☐ CD-ROM or CD-R (2 copies); or
    - ii. ☐ paper
  - c. ☐ Statements verifying identity of above copies

**ACCOMPANYING APPLICATIONS PARTS**

9. ☐ Assignment Papers (cover sheet & document(s))
10. ☐ 37 C.F.R. §3.73(b) Statement ☐ Power of Attorney  
(when there is an assignee)
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
16. ☒ Request and Certification under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
17. ☒ Other: Unexecuted Declaration

18. If a **CONTINUING APPLICATION**, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP)

of prior application No: \_\_\_\_\_ /

Prior application information: Examiner \_\_\_\_\_

Group / Art Unit:

For **CONTINUATION** or **DIVISIONAL** APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

**17. CORRESPONDENCE ADDRESS**☒ Customer Number or Bar Code Label

22930

or ☐ Correspondence address below

(Insert Customer No. or Attach bar code label here)

Name	Jonathan T. Kaplan				
	HOWREY SIMON ARNOLD & WHITE, LLP				
Address	1299 Pennsylvania Avenue, N.W.				
City	Washington	State	D.C.	Zip Code	20004-2402
Country	U.S.	Telephone	(202) 783-0800	Fax	(202) 383-7195

Name (Print/Type)	Jonathan T. Kaplan	Registration No. (Attorney/Agent)	38,935
Signature	<i>Jonathan T. Kaplan</i>	Date	January 16, 2002

**REQUEST AND CERTIFICATION  
UNDER  
35 U.S.C. 122(b)(2)(B)(i)**

First Named Inventor James H. Kukula, et al.

Title METHOD AND APPARATUS FOR FORMALLY  
CONSTRAINING RANDOM SIMULATION

Atty Docket Number 06816.0036.NPUS.01

11002 U.S. PTO  
10/045220

01/16/02

I hereby certify that the invention disclosed in the attached application **has not and will not be** the subject of an application filed in another country, or under a multilateral agreement, that requires publication at eighteen months after filing. I hereby request that the attached application not be published under 35 U.S.C. 122(b).

January 16, 2002

Date

*Jonathan T. Kaplan*

Signature

Jonathan T. Kaplan

Typed or printed name

This request must be signed in compliance with 37 CFR 1.33(b) and submitted with the application **upon filing**.

Applicant may rescind this nonpublication request at any time. If applicant rescinds a request that an application not be published under 35 U.S.C. 122(b), the application will be scheduled for publication at eighteen months from the earliest claimed filing date for which a benefit is claimed.

If applicant subsequently files an application directed to the invention disclosed in the attached application in another country, or under a multilateral international agreement, that requires publication of applications eighteen months after filing, the applicant **must** notify the United States Patent and Trademark Office of such filing within forty-five (45) days after the date of the filing of such foreign or international application. **Failure to do so will result in abandonment of this application (35 U.S.C. 122(b)(2)(B)(iii)).**

Burden Hour Statement. This collection of information is required by 37 CFR 1.213(a). The information is used by the public to request that an application not be published under 35 U.S.C. 122(b) (and the PTO to process that request). Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This form is estimated to take 6 minutes to complete. This time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

2002-01-16 09:45:00



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A LIMITED LIABILITY PARTNERSHIP

**JONATHAN T. KAPLAN**  
PARTNER  
202.383.7217  
kaplanj@howrey.com

January 16, 2002

***Box New Applications***

Assistant Commissioner for Patents  
Washington, DC 20231

Re: New Utility Non-Provisional U.S. Patent Application  
Application No.: To be Assigned Filed HERewith  
Title: **METHOD AND APPARATUS FOR FORMALLY CONSTRAINING  
RANDOM SIMULATION**  
Inventors: **James H. Kukula, et al.**  
Our Ref: **06816.0036.NPUS01**

Sir:

The following documents are forwarded herewith for appropriate action by the U.S. Patent and Trademark Office:

1. Form PTO SB/05;
2. Form PTO SB/35;
3. Form PTO 1082;

U.S. Utility Patent Application entitled:

**METHOD AND APPARATUS FOR FORMALLY  
CONSTRAINING RANDOM SIMULATION**

and naming as inventors: **James H. Kukula  
Rajeev K. Ranjan  
Thomas R. Shiple**

the application consisting of:

- a. A specification containing:
    - (i) 52 pages of description prior to the claims;
    - (ii) 9 pages of claims (34 claims);
    - (iii) a one (1) page abstract;
  - b. 50 sheets of drawings: (Figures 1-3, 4A-4K, 5A-5E, 6A-6J, 7A-7B, 8A-8O, 9, 10, 11 and 12);
4. Unexecuted Combined Declaration and Power of Attorney;
  5. Check No. 006131 in the amount of \$1,392.00 to cover the following fees:

Box New Applications  
Attorney Docket No. 06816.0036.NPUS.01  
January 16, 2002  
Page 2

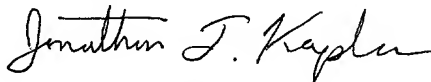
\$740.00      Basic Application Filing Fee  
\$652.00      Extra Claims Fee

6.      Two (2) return postcards.

It is respectfully requested that, of the two attached postcards, one be stamped with the filing date of these documents and returned to our courier, and the other, prepaid postcard, be stamped with the filing date and unofficial application number and returned as soon as possible.

The U.S. Patent and Trademark Office is hereby authorized to charge any fee deficiency, or credit any overpayment, to our Deposit Account No. 08-3038 referencing docket number 06816.0035.PZUS00.  
*A duplicate copy of this letter is enclosed.*

Respectfully submitted,



Jonathan T. Kaplan  
Registration No. 38,935

Enclosures

10046220-011602

FORM PTO-1082

HOWREY SIMON ARNOLD &amp; WHITE, LLP

Box No. 34

1299 Pennsylvania Avenue, N.W.

Washington, D.C. 20004-2402

(202) 783-0800

Attorney Docket No. 06816.0036.NPUS.01ASSISTANT COMMISSIONER FOR PATENTS  
Washington, DC 20231

Sir:

Transmitted herewith for filing is the patent application of

Inventor: **James H. Kukul, et al.**For: **METHOD AND APPARATUS FOR FORMALLY  
CONSTRAINING RANDOM SIMULATION**

Enclosed is a new application comprising:

- ☒ A specification containing: 52 pages of description prior to the claims; 9 pages of claims (**34 claims**); a one (1) page abstract; 50 sheets of drawings (**Figures 1- 3, 4A-4K, 5A-5E, 6A-6J, 7A-7B, 8A-8O, 9, 10, 11 and 12**);
- ☒ PTO SB/05;
- ☒ PTO SB/35;
- ☒ PTO 1082; and
- ☒ Unexecuted Combined Declaration and Power of Attorney

The filing fee has been calculated as shown below:

(Col. 1)		(Col. 2)	SMALL ENTITY		OR	OTHER THAN A SMALL ENTITY	
FOR	NO. FILED	NO. EXTRA	RATE			RATE	FEE
BASIC FEE				\$ 370.00	OR		\$ 740.00
TOTAL CLAIMS	34-20 =	* 14	x 9 =		OR	x 18 =	252.00
INDEP. CLAIMS	8-3 =	* 5	x 40 =		OR	x 80 =	400.00
<input type="checkbox"/> MULTIPLE DEPENDENT CLAIM PRESENTED			+ 135 =		OR	+ 270 =	
			TOTAL		OR	TOTAL	<b>\$1,392.00</b>

\*If the difference in Col. 1 is less than zero, enter "0" in Col. 2

- ☒ A check in the amount of **\$1,392.00** to cover the filing fee is enclosed.
- ☒ The U.S. Patent and Trademark Office is hereby authorized to charge payment of the following fees during the pendency of this application or credit any overpayment to Deposit Account No. 08-3038 referencing docket number 06816.0036.NPUS.00. *A duplicate copy of this sheet is enclosed.*

- ☒ Any patent application processing fees under 37 CFR 1.17
- ☒ Any filing fees under 37 CFR 1.16 for presentation of extra claims.

Date January 16, 2002*Jonathan T. Kaplan*Jonathan T. Kaplan  
Registration No. 38,935

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user not listed  
703-306-3338  
mild